






Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		COMPLETE IF KNOWN	
		Application Number	09/724,179
		Filing Date	11/28/00
		First Named Inventor	Lin
		Group Art Unit	2874
		Examiner Name	Unknown
		Docket Number	LIGHT1320

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (If known)			
lu	1	4,618,210		Kondo	10-21-1986	
lu	2	4,747,654		Yi-Yan	03-31-1988	
lu	3	4,813,757		Sakano et al.	03-21-1989	
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Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (If known)				
	18	EPO	0647861A1		AT&T Corp.	12.04.1995		
	19	EPO	0985942A2		Lucent Technologies, Inc.	15.03.2000		
	20	Japan	2-179621		Oki Electric Ind. Co. Ltd.	12.7.1990		
	21	Japan	6-186598		Hitachi Ltd.	8.7.1994		
	22	Japan	63-197923		NEC Corp.	16.8.1988		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶
lu	23	ABE, et al., <i>Optical Path Length Trimming Technique using Thin Film Heaters for Silica-Based Waveguides on Si</i> , Electronics Letters, September 12, 1996, Vol. 32-No. 19, pp. 1818-1820.	
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Examiner Signature		Date Considered	12/03/03
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SHEET	2	OF	6		

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an	26	AMANN, M.C. et al, <i>Calculation Of The Effective Refractive-Index Step For The Metal-Cladded-Ridge-Waveguide Laser</i> , Applied Optics, VOL 20, No.8, Apr 15 1981, pg 1483-1486	
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an	31	BETTY, I. et al., <i>A Robust, Low-Crosstalk, InGaAsP/InP Total-Internal-Reflection Switch For Optical Cross-Connect Application</i>	
an	32	BURKE, S.V., <i>Spectral Index Method Applied to Coupled Rib Waveguides</i> ; Electronics Letters, VOL 25, No.9, Apr 27 1989, pg 605-606	
an	33	BURNS, W.K. et al., <i>Mode Conversion in Planar-Dielectric Separating Waveguides</i> ; IEEE Journal of Quantum Electronics, VOL QE-11, No.1, Jan 1975; pg 32-39	
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an	37	CLEMENS, et al., <i>Wavelength-Adaptable Optical Phased Array in SiO₂-Si</i> , Photonics Technology Letters, October 1995, Vol. 7-No 10, 1040-1041.	
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Examiner Signature	<i>an</i>	Date Considered	02/03/03
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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
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lu	74	LEE, T.P. et al., <i>AlGaAs Double-Heterostructure Rib-Waveguide Injection Laser</i> , IEEE Journal of Quantum Electronics; VOL QE-11, No.7, July 1975; pg 432-435	
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Examiner Signature

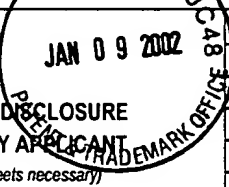
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





















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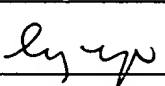
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets necessary)		Application Number	09/724,179		
		Filing Date	11/28/00		
		First Named Inventor	Lin		
		Group Art Unit	2874		
		Examiner Name	Unknown		
SHEET	5	OF	6	Docket Number	LIGHT1320

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	97	RENAUD, M. et al., <i>Compact Digital Optical Switches for Low Insertion Loss Large Switch Arrays on InP</i> , Proc. 21 st Eur.Conf.on Opt. Comm. (ECOC '95-Brussels), pg 99-102		
	98	RICKMAN, A.G. et al., <i>Silicon-on-Insulator Optical Rib Waveguide Loss and Mode Characteristics</i> , Journal of Lightwave Technology, October 1994, Vol. 12-No. 10, pp 1771-1776		
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	100	Santec Sales Brochure for year 2000 entitled "Optical Components"		
	101	SCHAUWECKER, B. et al, <i>Small-Size Silicon-Oxynitride AWG Demultiplexer Operating Around 725 nm</i> , IEEE Photonics Technology Letters, Vol. 12 No. 12, December 2000		
	102	SCHLACHETZKI, A. <i>Monolithic IO-Technology-Modulators and Switches Based on InP</i> , SPIE VOL 651 Integrated Optical Circuit Engineering III (1986), pg 60-86		
	103	SILBERBERG, Y. et al., <i>Digital Optical Switch</i> ; Appl. Phys. Lett.; VOL 51, No.16, Oct 19, 1987, pg 152-154		
	104	SMIT, M.K., <i>New Focusing and Dispersive Planar Component Based on an Optical Phased Array</i> , Electronics Letters; Mar 31, 1988, VOL 24, No.7; Pg 385-386		
	105	SMITH, S.D. et al., <i>CW Operation of Corner Cavity Semiconductor Lasers</i> ; IEEE Photonics Technology Letters, VOL 5, No.8, Aug 1993; pg 876-879		
	106	SNEH, A. et al., <i>Compact Low Crosstalk and Low Propagation Loss Quantum-Well Y-Branch Switches</i> ; PDP 4-1 ~ 4-5		
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	108	STOLL, L. et al., <i>1:8 Optical Matrix Switch on InP/InGaAsP with Integrated Mode Transformers</i> ; Optical Switches and Modulators II, pg 531-534		
	109	STOLL, L. et al., <i>Compact and Polarization Independent Optical Switch on InP/InGaAsP</i> ; TuB7.2; pg 337-340		
	110	STUTIUS, W. et al, <i>Silicon Nitride Films On Silicon For Optical Waveguides</i> , Applied Optics, VOL 16, No.12, Dec 1977, pg 303-307		
	111	SUGIE, T. et al., <i>1.3-μm Laser Diodes with a Butt-jointed Selectively Grown Spot-Size Converter</i> , ThB2-6, IOOC95, pg 52-53		
	112	TADA, K. et al., <i>Bipolar Transistor Carrier-Injected Optical Modulator/Switch: Proposal and Analysis</i> , IEEE Electron Device Letters, VOL EDL-7, No.11, Nov 1986, pg 605-606		
	113	TAKADA, et al., <i>Optical Spectrum analyzer using Cascaded AWG's with Different Channel Spacings</i> , Photonics Technology Letters, July 1999, Vol. 11, No. 7, pp. 863-864.		
	114	TAKAHASHI, H. et al., <i>Arrayed Waveguide Grating for Wavelength Division Multi/Demultiplexer with Nanometre Resolution</i> , PWG-NTT-7		
	115	TAKIGUCHI, K. et al, <i>Dispersion Compensation Using a Planar Lightwave Circuit Optical Equalizer</i> , Photonics Technology Letters, April 1994, Vol. 6, No. 4, pp. 561-564.		
	116	TIEN, P.K. et al., <i>Formation of Light-Guiding Interconnections in an Integrated Optical Circuit by Composite Tapered-Film Coupling</i> ; Applied Optics, VOL 12, No. 8, Aug 1973; pg 1909-1916		
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	118	TREYZ, G.V. et al., <i>Silicon Optical Modulators at 1.3 μm Based on Free-Carrier Absorption</i> ; IEEE Electron Device Letters, VOL 12, No.6, June 1991; pg 276-278		
	119	TSUDA, H. et al., <i>Performance Analysis of a Dispersion Compensator Using Arrayed-Waveguide Gratings</i> , Journal of Lightwave Technology, August 2000, Vol. 18-No.8, pp 1139-1147.		

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SHEET	6	OF	6	Docket Number	LIGHT1320

[illegible]

Examiner Signature	<i>[Signature]</i>	Date Considered	12/3/03
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